## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	)		
Ming Yan et al.	) Group Art Unit: To Be Assigned ) Examiner: To Be Assigned		
Serial No.: To Be Assigned	) Attorney File No.: NEO-0001-US-01		
Filed: Herewith	)		
For: THERMAL CONTROL OF OPTICAL COMPONENTS	ý		

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT

Sir:

Date of Deposit

Attached hereto are 2 pages of Form PTO-1449 (or substitute therefor) listing documents believed relevant to the above-referenced Application. Applicants respectfully request that these documents be considered by the Examiner and an initialed copy of each page be returned to the attorney of record.

This disclosure statement should not be construed as a representation that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

Applicants and the undersigned attorney believe that this disclosure complies with the requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98, and the Manual of Patent Examining Procedure §

CERTIFICATE OF MAILING			
I hereby certify that this paper (along with a			
date shown below with sufficient postage as	Express Mail Post Office to Address	essee, in an envelope addressed to th	e Commissioner for Patents P O

Box 1450, Alexandria, VA 22313-1450.	
	Anatoly S. Weiser
	Name of Person Mailing Paper
January 16, 2004	Unatols / New

Signature of Person Mailing Paper

609. If the Examiner considers otherwise, we respectfully request that the Examiner call the undersigned attorney so that any deficiencies can be remedied.

A copy of each document, other than U.S. patents and published applications, is enclosed. Some documents may have markings thereon. We do not intend any significance to attach to the markings.

These documents are not necessarily analogous art.

No fee is believed due for this filing because the filing is made within three months of filing date of a national application and before mailing of a first Office action on the merits. 37. C.F.R. § 1.97(b)(1) & (3).

To discuss any matter pertaining to the above-referenced Application, the Examiner is invited to call the undersigned attorney at (858) 720-9431.

Respectfully submitted,

Dated: 1/16/2004

Anatoly S. Weiser

Intellectual Property Legal Counsel 6046 Cornerstone Court, Suite 156

San Diego, CA 92121 (858) 720-9431

Reg. No. 43,229

PTO/SB/08A (08-03)

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

Complete if Known				
Application Number	To Be Assigned			
Filing Date	1/16/2004			
First Named Inventor	Ming Yan			
Art Unit	To Be Assigned			
Examiner Name	To Be Assigned			
Attorney Docket Number	NEO-0001-US-01			

				DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number  Number-Kind Code <sup>2 (f known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	US- 6,498,878B1	12/24/2002	Ueda	pp. 1-7
		US- 6,266,464B1	7/24/2001	Day et al.	pp. 1-21
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Date Considered	01/25/2008

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Transaction is consistent of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentially is governed by 35 U SC. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, prepending, and submitting the completed application from the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing his burden, should be sent to the Chief landon of Chief. U.S. Parent and Trademark Office, P.D. Box 1450, Alexandria, VA 22313-1450, DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patterts, P.O. Box 1450, Alexandria, VA 22313-1450.

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1	Substitute fo	or form 1449B/PTO				Complete if Known
					Application Number	TO BE ASSIGNED
	INFO	RMATION I	DISCLO	SURE	Filing Date	1/16/2004
	STAT	EMENT BY	' APPLI	CANT	First Named Inventor	MING YAN
					Art Unit	TO BE ASSIGNED
		(Use as many sheets	as necessary	,	Examiner Name	TO BE ASSIGNED
abla	Sheet	2	of	2	Attorney Docket Number	NEO-0001-US-01

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
	3	DIECKRÖGER EF Q.L., THERMODPTCALLY TOUNDEL OPTICAL PHASED ARRAY IN 5102-5: , IEEE PHOTONICS TECH. LETTEPS , VOL.11, NO.2, Feb.195	
	4	CHU et al, Temperature Insensitive Vertically Coupled Mirroring Resonator Add/Nop Filters by Means of a Polymer operating IEEE	
		PHOTONICS TECH. LETTERS, NOL 11, NO. 9, SEPT, 1959 PP. 248-50	
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Examiner Signature	/Sung Pak/	Date Considered	01/25/2008

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